

Information Technology Capital Plan

Department IT Capital Plan

Information Technology Capital Plan, Plan Year 2009-10 through 2013-14 Executive Approval Transmittal



Department Name

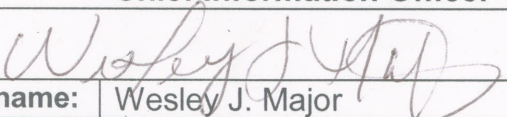
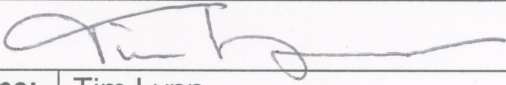
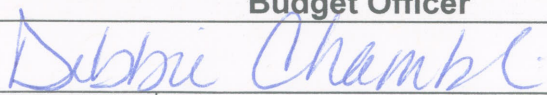
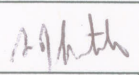
Department of Finance

APPROVAL SIGNATURES

I am submitting the attached Information Technology Capital Plan as required by the State Administrative Manual Section 4904.

I certify that the IT Capital Plan was prepared in accordance with State Information Management Manual section 57 and that the proposed IT projects are consistent with our business strategies and information technology strategy.

I have reviewed and agree with the information in the attached Information Technology Capital Plan.

Chief Information Officer		Date Signed
		10/3/08
Printed name:	Wesley J. Major	
Information Security Officer		Date Signed
		10/3/08
Printed name:	Tim Lynn	
Budget Officer		Date Signed
		10/03/2008
Printed name:	Debbie Chambliss	
Department Director		Date Signed
		10/3/08
Printed name:	Michael C. Genest	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

8860 – Department of Finance

Plan Year:

2009-10 through 2013-14

This Information Technology Capital Plan reflects information pertaining to both the Department of Finance (Finance) and the Financial Information System for California (FI\$Cal), which currently resides within Finance. However, due to the unique circumstances of the FI\$Cal project and the unresolved issue of the project's future organizational structure, we have separated responses to various sections between the department and the project, as appropriate.

1. Summarize your organization's business goals and objectives below:

The following goals are included in the department's Strategic Plan for the period of July 2008 through December 2010:

Initiatives

Goal 1.1

Oversee the implementation of Budget Reform to ensure the state is positioned to maintain a balanced budget by July 1, 2010.

Goal 1.2

Maintain the Strategic Growth Plan, Bond Accountability Website (www.bondaccountability.ca.gov), and ensure accountability through on-going oversight and audits of bond fund expenditure by January 1, 2009.

Goal 1.3

In partnership with the State Controller's Office, State Treasurer's Office and Department of General Services, play an active role in the long-term implementation of FI\$Cal. Ensure first phase implementation by July 1, 2010.

Learning and Growth

Goal 2.1

Review current recruiting and hiring processes and identify improvements that will result in a reduction in vacancies by 20 percent by June 30, 2009.

Goal 2.2

Develop a staff retention plan with a goal of reducing turnover by 10 percent by June 30, 2009.

Goal 2.3

Focus on employee development and training by adding courses to the Department of Finance Training Program and adding employee development plans to the annual employee assessment process by February 1, 2009.

Goal 2.4

Invest in the development of our management team by increasing the number of managers attending the Management Development Training from four to six by June 30, 2009.

Goal 2.5

Conduct an internal assessment of the use of information technology and identify areas where Department of Finance can leverage the use of technology in its day to day operations by July 1, 2009.

Customer Service**Goal 3.1**

Review the Department of Finance website to identify areas that need to be updated and where accessibility can be improved by June 30, 2009.

Goal 3.2

Work with the Governor's Office Cabinet, Legislative and Communications units to identify processes that can be improved to ensure that they are well informed and participating in DOF budget and policy development at the earliest stages by September 30, 2008.

Goal 3.3

Improve the timeliness and thoroughness of the Multi-year forecast and improve coordination with the LAO by January 1, 2009.

Goal 3.4

Hold management level meetings at least biannually to identify areas where Department of Finance can improve internal operations and reduce duplication to allow additional time to focus on more detailed analysis of budget related policies by September 30, 2009.

Financial Management**Goal 4.1**

Ensure that Departments are knowledgeable about the requirements of the Fiscal Integrity and State Managers Accountably Act and increase the number of departments that complete the biennial review of internal controls by 20 percent by December 31, 2009.

Goal 4.2

Work with the Department of Personnel Administration on a plan to fully fund the Other Post Employment Benefits (OPEB) by September 30, 2008 and begin funding the liability by July 1, 2009.

Internal Business Processes**Goal 5.1**

Review current budget workload and processes and identify areas where changes can be made which will result in overtime being reduced back to the levels of at least 2006-07 by September 30, 2009.

Goal 5.2

While maintaining an adequate level of support for the Legislative budget process, find ways to minimize workload driven by and for the Legislature by January 1, 2009.

Goal 5.3

Develop and implement a standardized on-line (I-Drive) filing system by September 30, 2008.

Goal 5.4

Take an active role in seeking ways to lower greenhouse gas emissions by recycling, reducing paper usage by posting reports on the website and trading the delivery van for an electric vehicle by September 30, 2008.

2. What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.

2.1. Hardware

- Web hosting upgrade – FY 2008-09
 - Internet server
 - Intranet server
 - eBudget server
- Server infrastructure upgrade – FY 2009-10
 - Application servers
 - File/Print servers
 - DBMS
- Storage infrastructure upgrade – FY 2009-10
 - Storage Area Network
- Network core infrastructure upgrade – FY 2010-11
 - Cisco switches
- FI\$Cal – FY 2008-09
 - Test and training servers
 - New FI\$Cal building network switches and routers
 - New FI\$Cal building cabling
 - New FI\$Cal employees desktops
- FI\$Cal – FY 2009-10 through 2011-12
 - Equipment associated with an ERP project - does not include state or other departments, agencies, etc. infrastructure
 - Equipment associated with new FI\$Cal building and refresh of team member's workstations

2.2. Software

- Windows Server 2008 upgrade – FY 2008-09
- Microsoft Exchange 2007 upgrade – FY 2008-09*
- Microsoft Office Communication Server implementation – FY 2009-10
- Mac desktop computer OS upgrade – FY 2008-09
- Windows Vista upgrade – FY 2008-09
- Office 2007 upgrade – FY 2008-09
- FI\$Cal – FY 2009-10 through 2011-12
 - Microsoft products (Office, Server, Visio, etc.)
 - Various project management products and tools

- * Note: The department purchased servers to upgrade our existing Microsoft Exchange environment prior to the OCIO's direction to centralize email services at the Department of Technology Services (DTS). In addition, Exchange 2007 licenses are included in our Microsoft ELA. As such, we intend to implement this upgrade, consistent with DTS best practices, until we migrate to the statewide email service.

2.3. Network

- Replace satellite office T1 lines with Remote Network Circuit Aggregation (Giga-MAN Circuit) via CALNET II – FY 2009-10
- Disaster recovery site implementation (DTS COEMS) – FY 2010-11
- FI\$Cal – FY 2008-09
 - New FI\$Cal building LAN/WAN infrastructure - does not include state or other departments, agencies, etc. infrastructure
 - New FI\$Cal building connectivity to DTS
- FI\$Cal – FY 2009-10 through 2011-12
 - FI\$Cal building upgrades necessary for an ERP project - does not include state or other departments, agencies, etc. infrastructure

3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:

- Existing IT Project;
- Approved Project Cost;
- Project Number; and
- Implementation Date

4. Proposed IT Projects

After each proposed IT project has been documented by answering questions 4.1 through 4.15 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:

- The name of each proposed IT project;
- The priority ranking;
- The FSR submission date; and
- The estimated cost

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
FI\$Cal	\$1,620,052,600	#8860-30	June 2017

***Note:** If a Special Project Report (SPR) was submitted for review in July 2008 that includes project costs that differ from the last approved project document, enter both the last approved project cost and the revised project cost from the SPR under review.

Table 2-Proposed IT Project Summary

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost
None at this time. The department is evaluating the scope of a planned rewrite of our existing Legislative Information System, used for legislative bill analysis. At this time, we anticipate this project will be initiated under our delegated authority and within existing resources. However, in the course of evaluating project scope, if we determine the project will reach reportable thresholds and/or require a funding augmentation we will include the project in a subsequent update of this plan.			

PROPOSED IT PROJECTS

Complete this IT Project Proposal Form (questions 4.1 through 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

- 4.1. Proposal name and priority ranking:
- 4.2. Description of the proposed IT project:
- 4.3. Which of your department's business goals and objectives does this project support, and how?
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?
- 4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:
- ☐ Supporting and enhancing services for Californians and businesses
 - ☐ Enhancing information and IT security
 - ☐ Reducing state operational costs (leveraging, consolidation, new technology, etc.)
 - ☐ Improving the reliability and performance of IT infrastructure
 - ☐ Enhancing human capital management
 - ☐ Supporting state and agency priorities and business direction
- 4.6. Is the proposal consistent with your organization's Enterprise Architecture?
- ☐ Yes
 - ☐ No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

4.7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?

- ☐ Yes
☐ No

4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved?

4.10. What is the duration of the proposed project?

4.11. Will the proposed project utilize the existing infrastructure?

- ☐ Yes
☐ No

If no, please explain.

4.12. Is the proposal related to another proposal or to an existing project?

- ☐ Yes
☐ No

If yes, describe the related proposal or project and how it is related:

4.13. Describe the consequences of not doing this proposed project at the planned timeframe:

4.14. Check the appropriate box(es) to identify the proposal's funding strategy:

- ☐ Augmentation needed
☐ Redirection of existing funds
☐ Other (describe):

4.15. What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*						
Total						

*** Note: Identify the fund source and if the department is the sole user of the fund.**

Enterprise Architecture

A.1. Does your organization have documented Enterprise Architecture principles, strategies, or standards to guide decisions on technology projects?

☐ Yes

☒ No

A.2. Indicate on Table A-1 below, the completion status of the component Reference Models of your formal Enterprise Architecture efforts. If available, please submit a copy of your Enterprise Architecture document.

Table A-1, Enterprise Architecture Completion Status

Component Reference Model	Status			
	Implemented	Implementation in Progress	Planned or Planning in Progress	Not Implemented and Not Planned
Business			X	
Service			X	
Technical			X	
Data			X	

A.3. Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes.

Enterprise Architecture decisions are made consistent with the governance structure described below in section D.1.

A.4. Does your organization have an Enterprise Architect? (if yes, provide their name, telephone number, and e-mail address below)

☐ Yes

☒ No

While we do not have a position officially designated with the title Enterprise Architect, we do have a staff person in our Infrastructure and Application Unit who performs this function in coordination with other technical leads and managers in our Information Services Unit.

Name: Chris Dove

Classification: Systems Software Specialist III

Telephone Number: (916) 323-3104 **E-Mail:** chris.dove@dof.ca.gov

Information Security

B.1. How is your Information Security Officer involved in proposed project development efforts?

The ISO is engaged in all departmental IT efforts, both in his role as ISO and as a member of the Assistant Program Manager Team (APMT). The APMT includes all Assistant Program Managers in the department and provides guidance and direction on operational issues and recommendations on strategic direction to the department's executive management. In addition, the ISO is engaged in project development efforts, as necessary.

B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?

Information integrity, confidentiality, and availability and the protection of information assets are fundamental to the department's operations and are issues we take very seriously. Information security policies and standards are documented in Section 3000 of the Administrative Policy Manual (APM) and address such areas as information security and integrity responsibilities, essential security practices, and state requirements for reporting security violations. In August 2008, consistent with State Administrative Manual Section 5320.5, the department published its Document and Information Classification Policy and Procedures, which will be included in the APM. This policy outlines departmental standards and employee responsibilities for the classification and handling of public, confidential, and sensitive documents and information.

The department ensures employees are informed of their responsibilities with respect to information security and privacy through an annual mandatory training course titled Protecting Privacy in State Government. This training provides information on protecting personal, sensitive, or confidential information from inappropriate or unauthorized access, use, or disclosure. Additionally, information on how to report information security incidents and the consequences of mishandling personal information are addressed.

Finally, all non-state entities that require access to state information assets in the course of fulfilling a contract or agreement are required to read and sign the department's Information Integrity and Security Policy. This policy outlines standards, requirements, and responsibilities for access to, and handling of, state information assets.

B.3. If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?

- ☐ Yes
☐ No

If no, please explain.

☒ **Not applicable**

Information Security**B.4. How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?**

Developers are required to follow the principles of the system development life cycle (SDLC) as appropriate along with utilizing practices and tasks as identified in the Project Management Body of Knowledge (PMBOK).

In addition to the SDLC and PMBOK, the department has standardized the programming languages, databases, and development tools developers and programmers use to develop and maintain our systems and applications. Mandatory and elective training courses, periodicals, online subscriptions, and knowledge transfer are vehicles used for developing and maintaining the skills needed to support existing and new applications.

B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)

☒ **Yes**

☐ **No**

Name: Tim Lynn

Classification: Assistant Program Budget Manager/CEA III

Telephone Number: (916) 445-3274 **E-Mail:** tim.lynn@dof.ca.gov

Workforce Development, Workforce Planning and Succession Planning

C.1. Does your organization have a workforce development plan for IT staff?

- ☒ Yes
☐ No

If yes, briefly describe it.

Information Technology Training Plan (ITTP) - The ITTP was developed under the direction of the Training Advisory Committee (TAC). The TAC provides guidance and feedback to the Training Office with respect to the department's training program. The TAC, of which the CIO is a member, developed the ITTP plan that maps individual training needs to each IT classification (including managers) in Finance. The ITTP covers internal/external training needs, mandatory training, technical training, administrative, on-the-job training, and communication. In addition, the Individual Development Plan plays a major role in documenting and identifying IT staff training consistent with the ITTP.

FI\$Cal – Please see attached Appendix H: Succession Planning (from SPR#2) and FI\$Cal Human Resource Management Plan.

C.2. Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:

- ☒ Training
☒ Upward Mobility
☒ Mentoring
☒ Career Assessments
☒ Knowledge transfer program
☒ Performance Evaluations
☐ Other (please list)

C.3. Does your organization have a workforce plan for IT staff (i.e., for Rank and File)?

- ☒ Yes
☐ No

If yes, briefly describe it.

FI\$Cal – Please see attached Appendix H: Succession Planning (from SPR#2) and FI\$Cal Human Resource Management Plan.

C.4. Does your organization have a succession plan for IT staff (i.e., for Management)?

- ☒ Yes
☐ No

If yes, briefly describe it.

Finance is currently utilizing the IT Succession Management Planning Toolkit that was developed by the IT Succession and Workforce Planning Committee to address succession planning for future IT leaders.

Workforce Development, Workforce Planning and Succession Planning

FI\$Cal – Please see attached Appendix H: Succession Planning (from SPR#2) and FI\$Cal Human Resource Management Plan.

C.5. IT Staffing

Provide the following information in table C-1 on the following page:

- **The name of each IT classification currently in the organization.**
- **The number of staff in each IT classification in the organization.**
- **The number of staff in each IT classification eligible to retire in the next five years.**
- **The percentage of each IT classification eligible to retire in the next five years.**

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
IST	1	1	IST Sup II	1	1
IST Spec. I	3	0	Senior PA (Supv)	3	3
Assistant ISA	3	2	Senior ISA (Supv)	0	0
Associate ISA	3	1	SSS II (Supv)	1	1
Staff ISA (Spec)	7	4	DPM I	1	1
Senior ISA (Spec)	2	1	DPM III	9	8
Associate PA (Spec)	7	3	DPM IV	2	2
Staff PA (Spec)	15	12			
Senior PA (Spec)	5	1			
SSS II (Tech)	2	2			
SSS III (Tech)	2	1			

Project Management, Portfolio Management and IT Governance**D.1. Does your organization have a process for improving the alignment of business and technology?**

- ☒ **Yes**
☐ **No**

If yes, briefly describe it.

The Director, with input from his executive management team, establishes the vision, goals, and priorities for the department (see section 1 above). Operational and strategic decisions, necessary to implement the Director's vision and goals, are made by the Program Budget Manager (PBM) group, which is led by the department's Chief Operating Officer (COO). The COO is responsible for overall departmental operations. The PBMs are the executive managers of each of the department's units. This group meets on a weekly basis (more often if necessary).

Departmental IT priorities and initiatives are established by this group, in coordination with the departmental CIO. In addition, all IT issues with department-wide impact are brought before the PBM group for direction and/or approval. This governance model ensures that departmental IT efforts are business driven and continually aligned with current priorities.

D.2. What is the status of implementing a formal portfolio management methodology for technology projects within your organization?

- ☐ **Implemented (Please describe)**
- ☐ **Implementation in progress (Please describe)**
- ☒ **Planned or planning in progress**
☐ **Not implemented and not planned**

D.3. List any automated tools being used for portfolio management. Enter "None" if no automated tools are being used.

We do not have a formal portfolio management methodology in place at this time. However, we do use automated tools to manage some aspects of our IT resources, such as Asset Insight and Systems Center Configuration Manager.

D.4. What is the status of implementing a standard project management methodology for technology projects in your organization?

- ☒ **Implemented (Please describe)**

Reportable projects are managed in accordance with the Statewide Information Management Manual, Section 45.

- ☐ **Implementation in progress (Please describe)**

Project Management, Portfolio Management and IT Governance

- ☐ Planned or planning in progress
☐ Not implemented and not planned

D.5. Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:

- ☐ Yes
☐ PMI
☐ ITIL
☐ Agency-specified project management coursework (identify below)

☒ No

D.6. Select from the list other areas of training your organization requires of its project managers:

- ☐ Fundamental Project Management
☐ Systems Development Life Cycle
☐ Scheduling tool (identify below)

—

—

—

- ☐ Project Performance Management (e.g., Earned Value Management)
☐ Business Process Analysis
☐ Requirements Traceability
☐ Procurement/Contracts Management
☐ Other (identify below)

—

—

—

☒ None

To the extent it is needed, training is provided commensurate with the scope and complexity of a particular effort.

D.7. Describe project-level governance practices, including change management, issue resolution, and problem escalation.

See section D.1 above.

FI\$Cal governance is provided by the project steering committee, which is comprised of representatives of the partner agencies and the State CIO.

D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?

☒ Yes (Please describe)

Lessons-learned are documented in the Post Implementation Evaluation Report and serve as a reference for future projects.

☐ No

Project Management, Portfolio Management and IT Governance

State of California



FI\$Cal Human Resource Management Plan

Version 2.2

June 11, 2008

1. Revision History

Revision	Last Updated by	Date of Release	Status/Comments	Change Approved by
Version 1.0		06/29/2007	Initial Draft	PMO
Version 1.1		07/27/2007	Interim Plan. Incorporates PMO comments.	PMO
Version 1.2		08/13/2007	Interim Plan. Incorporates additional PMO comments.	PMO
Version 1.3		08/22/2007	Interim Plan. Incorporates FI\$Cal Team comments.	PMO
Version 1.4		09/08/2007	Updated cover. Incorporates further PMO comments and adds succession planning section.	PMO
Version 1.5		09/26/2007	Incorporates further PMO comments.	PMO
Version 1.6		09/27/2007	Updates to sections 3, 4, and 5.	PMO
Version 1.7		10/05/2007	Incorporates various reviewer comments.	PMO
Version 1.8		10/8/2007	Incorporates various reviewer comments.	PMO
Version 1.9		10/26/2007	Incorporates various reviewer and quarterly update comments.	PMO
Version 2.0	PMO (DRL / MLM)	03/4/08	Added the following: <ul style="list-style-type: none"> - Updated revisions page - RACI Chart - Constraints & Assumptions - Org Charts to Appendix B - Placeholder for Appendix C 	PMO
Version 2.1	PMO (MLM)	3/24/08	Added clarifications per Admin team comments.	PMO
Version 2.2	PMO (MLM)	6/11/08	<ul style="list-style-type: none"> - Rewording and format changes requested by Steering Committee Support Staff, IV&V, and Admin Team. - Reinserted updated org chart. - Corrected Charter reference to SPR2 reference. 	PMO

FI\$Cal Project Approval of the Human Resource Management Plan

Approved on behalf of the Steering Committee, by consensus decision, at the Steering Committee Meeting held on:

June 18, 2008
Meeting Date

2:00 PM
Time

Signature:

Fred Klass, Chair
FI\$Cal Steering Committee

Date

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2. Overview

Human Resource Planning, as defined by the Project Management Institute, is the process of determining project roles, responsibilities, reporting relationships and creating a Human Resource Management Plan. An important success factor throughout the FI\$Cal Project is a common understanding of project participants and defining their roles and responsibilities. Successful project management also involves forecasting the needs of various personnel resources across the life of the project, which also may include labor relations issues that may require addressing.

As with all projects, it is anticipated that as the project proceeds, clarification and amendments to project team roles and responsibilities will occur.

2.1 Scope

This plan describes the human resource management process used by the FI\$Cal Project, throughout the life cycle of the project. Human Resource management will be incorporated throughout the project management life cycle.

2.2 Purpose

The purpose of a Human Resource Management Plan is to address:

- How and when project team members need to be acquired and assigned,
- Retention strategies,
- Succession planning,
- When project members should be released,
- Potential training needs, and
- Any labor relations issues.

2.3 Objectives

The objective of the Human Resource Management Plan is to communicate and direct the project's plans for project team acquisition, retention, training and release.

2.4 Review Cycle

The Human Resource Management Plan is scheduled for quarterly reviews. The goal of the quarterly review is to verify the relevance and success of the process and procedures to the FI\$Cal Project business needs, as well as to update the plan with any significant project staffing changes, and any other needed modifications to ensure project success.

2.5 Definitions

Definitions and acronyms will be developed for the plan and will be maintained and located in the project library, as well as in the Project Management Plan.

2.6 Constraints and Assumptions

Assumptions

The following assumptions, specific to the FI\$Cal Human Resource Management Plan are provided in order to identify and describe internal or external resources and dependencies which will be assumed as available, or will be available during the life of the project. Unless specific to and or especially relevant to the Human Resource Plan, project-wide assumptions are provided in the FI\$Cal Project Charter. The FI\$Cal Human Resource Management Plan incorporates the following assumptions:

- The Human Resources Management Plan will be consistent with State and Federal statutes, regulations, policies and employee contracts.
- The Project will adopt best practices learned from other successful ERP and large IT projects.
- A qualified workforce is available for recruitment during the life of the project.
- Necessary facilities and physical resources will be provided in order to manage human resources effectively.
- All entities identified as vital and necessary to the Project will have access to key personnel as necessary. Human Resource Management team members will receive appropriate training, specific to Human Resource management processes as well as training on the use of necessary software tools (as brought into the project), and labor relation issues, which may require authorization from a partner control agency to engage in meet and confer obligations.

Constraints

The following constraints, specific to the FI\$Cal Human Resource Management Plan are provided in order to identify and describe resource or other limitations which may have a direct affect on a successful implementation of the Plan. Unless specific to and/or especially relevant to this Plan, project-wide constraints are provided in the FI\$Cal Project Charter.

- The ability to recruit and hire for project positions will be contingent upon an approved state budget.

3. Human Resource Management Policy

It is the policy of the project that appropriate steps are taken to successfully acquire, train and retain project staff in order to ensure consistent staffing throughout the duration of the project. It is also the policy of the Project to allocate staff with the appropriate skills to project assignments. To that end, the project management team is making a significant investment in building a core suite of new skills and staff, with the intention of creating a strong infrastructure to support this project. The project policy is to fully cross-train, within the scope of the specific classifications, all project staff in every aspect of the project to ensure that staff will be prepared to make informed decisions throughout all phases of the project.

4. Roles and Responsibilities

The Responsibility Matrix table below provides a general overview of the high-level responsibility assignments for the project as they relate to human resource management. The Project Administration Team is assigned the duties of recruitment, retention and training for the necessary project skills. As the project progresses and becomes fully staffed, training activities will shift to the Change Management team.

Project Team Role	Responsibility
Project Sponsor	<ul style="list-style-type: none"> ■ Provide sponsorship and support for project from Executive Management. ■ Ensure project funding and resources. ■ Encourage state employees to participate in the project. ■ Support project staff recruitment, retention, and succession planning.
Steering Committee	<ul style="list-style-type: none"> ■ Participate in coordination and allocation of departmental and project resources. ■ Encourage state employees to participate in the project. ■ Participate in succession planning. ■ Ensure partner agencies are represented on the project. ■ Support project staff recruitment and retention.
Project Executive	<ul style="list-style-type: none"> ■ Serve as a project spokesperson responsible for communicating project strategy, benefits, direction, status, and recommendations to stakeholders, public, Legislature and the Enterprise Leadership Council. ■ Participate in opportunities to encourage state employees to work on the project. ■ Participate in succession planning. ■ Support project staff recruitment and retention.
Project Director (State Project Manager)	<ul style="list-style-type: none"> ■ Provide a centralized structure to coordinate and manage the Project, its staff resources, teams, activities, facilities, communication and outreach using structured project management methodologies. ■ Serve as central point of communication and coordination for the project. ■ Direct the activities of state and vendor personnel assigned to the Project. ■ Provide leadership to state staff assigned to manage the multidisciplinary project teams including business process teams, technology teams, acquisition teams, change management teams, project administration teams and training teams. ■ Encourage state employees to participate in the project. ■ Participate in succession planning. ■ Support project staff recruitment and retention.
Partner Business Executives (Finance, State Controller,	<ul style="list-style-type: none"> ■ Encourage state employees to participate in the project. ■ Participate in succession planning.

Project Team Role	Responsibility
General Services, State Treasurer)	
Project Deputy Director - Administration	<ul style="list-style-type: none"> ■ Assist in obtaining and managing resources assigned to the project ■ Provide a centralized structure to coordinate and manage the Project, its staff resources, teams, activities, facilities, communication, outreach, etc. including recruitment, retention, and training. ■ Allocate and schedule state resources and tasks against approved requests. ■ Coordinate with the human resource offices of the Partner Agencies and all participating departments who support the FI\$Cal Project for the state personnel practices and procedures. ■ Participate in succession planning. ■ Address any labor relation issues, coordinating strategic approaches with the Department of Personnel Administration or the Change Management team, to render best solutions.
Project Deputy Directors – All Teams	<ul style="list-style-type: none"> ■ Plan, direct and coordinate the work of the assigned teams. ■ Ensure that the project business and technology vision, goals, objectives, policies and procedures are identified and met. ■ Ensure the coordination of all intra unit and group activities within the team and between the teams. ■ Manage staff and provide day-to-day operational direction to all project team subordinate managers and supervisors. ■ Create and maintain a working environment that increases recruitment and retention of highly qualified professionals, and ensures a mutual respect and collaboration between team members, other teams, contractors, customers, partner agencies, departments, and other stakeholders. ■ Develop an organization transition guide to assist the state in addressing changes in roles and jobs. ■ Participate in user training and knowledge transfer activities. ■ Design and develop the training plan and strategy. ■ Execute the training strategy statewide. ■ Monitor the training program and develop/execute mitigation strategies. ■ Support project staff recruitment and retention. ■ Address any labor relation issues and/or alleged bargaining unit contract violations. ■ Participate in succession planning.

Project Team Role	Responsibility
Vendor Team	<ul style="list-style-type: none"> ■ Encourage state employees to participate in the project. ■ Participate in succession planning.
Recruitment and Retention Manager	<ul style="list-style-type: none"> ■ Centrally organize and execute recruitment activities during the course of the project. ■ Identify and implement retention strategies during the course of the project. ■ Encourage state employees to participate in the project. ■ Participate in succession planning. ■ Coordinate with partner agency human resource offices as necessary.
Project Librarian	<ul style="list-style-type: none"> ■ Create and maintain Project Contact rosters. ■ Create and maintain project email distribution lists.
All Project Staff	<ul style="list-style-type: none"> ■ Encourage state employees to participate in the project. ■ Honor all bargaining unit contract requirements.

4.1 RACI Chart

A RACI [diagram](#) is used to describe the roles and responsibilities of various [teams](#) or [people](#) in delivering a [project](#) or operating a process. It is especially useful in clarifying roles and responsibilities in cross-functional/departmental projects and processes, such as the FI\$Cal Project. The RACI diagram splits activities into four participatory responsibility types, which are then assigned to different roles in the project or process.

Responsibility Type	Role
Responsible	Those who do work to achieve the task. There can be multiple resources responsible.
Accountable	The resource ultimately answerable for the correct and thorough completion of the task. There must be exactly one A specified for each task.
Consulted	Those whose opinions are sought (two-way communication).
Informed	Those who are kept up-to-date on progress (one-way communication).

Very often the role specified as "accountable" is also specified as "responsible." Outside of this exception, it is generally recommended that each role in the project or process for each activity receive at most, one of the participatory role types.

Project Roles

Project Activities		Project Directorate	Steering Committee	Project Executive	Project Director	Project Deputy Directors	Partner Business Executive	Project Team	Recruitment & Retention Manager	Hiring Authority
	Project Staff Acquisition ¹		I	C	R	A	I	R	R	A
	Project Team Retention		I	A	R	R	I	R	R	I, C
	Project Succession Planning		C	A	R	R	R	R	R	I, C
	Project Staff Release		C	R	A	R	R	R	R	I, C
	Day-to-Day Operations			I	C	R	R	A		
	Performance Evaluations				C	C				A

¹ For Project Staff Acquisition, accountability is shared between the Project Deputy Directors and the Hiring Authority. This also reflects the accountable party when the Hiring Authority is the FI\$Cal Office.

5. Human Resource Management Process

5.1 Project Staff Acquisition

The project will not be fully staffed at inception. Staff acquisition is phased in over the course of several years, and follows the State of California's hiring processes. The project is addressing the challenges of a multi-departmental team. A Human Resources Workgroup has been organized to facilitate collaborative and proactive efforts on staff acquisition and retention. The HR Workgroup has established an approved Charter.

An organizational chart detailing the current and proposed project staff is attached in the appendices of this plan. The team roster addresses recruitment and hiring plan activities at start-up as envisioned in the Special Project Report (SPR2) approved December 31, 2007. The team roster with target hiring dates conforms to the final budget decisions for the 2008-09 fiscal year. This roster identifies the term of the staff, and assists partner agencies and departments with acquisition and succession planning activities. The project coordinates the recruitment and retention effort between participating departments.

Acquisition will be a collaborative process for those team members which have dual department responsibilities.

To aid in recruitment for the project, specified positions are provided six months to one year in advance of project needs such that departments can orient and train staff with requisite knowledge, skills and abilities for the the project without negatively impacting the ability of departments to meet their missions and participate in project activities. The positions provided in advance allow the departments to hire, backfill, and train replacement staff for their Functional Business Analysts² (FBAs) in order to place their FBAs onto the project for the project duration. These FBAs come from the partner agencies and various departments and functional areas to provide expertise to the project. For example, revenue collection, grant management and cash management functions will be represented.

The project utilizes a Matrix Organization approach, which is discussed in further detail in section 4.3, Project Team Structure.

After discussion, the consensus of the Steering Committee was that hiring activities will be mutually beneficial to the Partners and the project. The Human Resources Workgroup would work to develop a mutually beneficial process and make future presentations and recommendations to the Steering Committee.

Due to the project schedule constraints, the Steering Committee decided that each department should conduct their own hires for the July 2008 authorized positions and work collaboratively on a hiring approach for the January 2009 hires.

² Formerly referred to as Subject Matter Experts (SME). The use of "SME" did not adequately describe the nature of the position. FBAs may also be subject matter experts, but will be required to learn multiple aspects of functionality because of the process reengineering, system integration, and data exchanges that will take place. The FBA will also perform analytical tasks necessary for the Project such as developing use case scenarios and test scripts, and evaluating test results.

5.2 Project Team

A roster of the current project team members, email addresses, and phone numbers is maintained in a file stored on the network in the project library. This project contact roster will be used throughout the life of the project to effectively communicate among and between team members. This roster is generally broken down into the project team members and stakeholders described below:

FI\$Cal Project Sponsor

FI\$Cal Project Executive

FI\$Cal Project Director (State Project Manager)

FI\$Cal Project Steering Committee

Project Deputy Directors

- Technology
- Business
- Administration
- Change Management

Project Team Members

The Project Librarian manages the project contact roster as staff members move on or off of the project. The project contact roster is also located on the Project website at:

<http://www.fiscal.ca.gov/>

5.3 Project Team Structure

Organizational charts of both the current team structure, and the planned project team structure have been developed. The charts illustrate the hierarchy and relationships of the key project participants. For reference, the project overview organizational chart is referenced as Appendix A.

As proposed in SPR2, the FI\$Cal Project team structure is based on a matrix project management approach. The elements of this approach, where the project team is comprised of individuals from the partner agencies and other departments, are as follows:

- The business owners and/or the project select the functional business analysts that meet the knowledge, skills, and ability criteria established by the project. The job specification of the classification assigned to the specific task should be utilized. This would include the specific duties of the classification and desirable knowledge, skills and abilities that will be essential to perform successfully on the project.
- The functional business analysts are co-located with the project, and they are dedicated full-time due to the fast pace of the project, the schedule, activities, and the training investment and requirements.
- The Project Partner and their business owners communicate with the project via the Partner Business Executive. They are co-located with the project to ensure the business needs of the partner are met.

- The business owners are the hiring authority and complete the performance evaluations of the functional business analysts. Input from the project management staff regarding information such as quality, quantity, timeliness of work, teamwork, and leadership will be provided by project managers to the project partners for retention and utilization as needed.
- The business teams generally include representatives from each project partner and functional business area, and also representatives from line departments. This matrix structure will help ensure that decisions are adequately informed.
- Teams are generally grouped by business area on the team roster (i.e. Procurement, General Ledger, Cash Management). However, teams will also be formed by project function (i.e. Testing Team, Baseline Team, Department Readiness Team) that will only be created for a specific phase of the project.
- Teams will also be formed by specific integrated processes, cost centers, and workflows for specific phases of the project. These teams will also be matrix in nature.
- The FI\$Cal Project Management Team directs the daily activities of the project, based on a published project schedule. The project management processes and activities are provided as part of the Project Management Plans and all efforts are geared to achieving a successful solution to reflect the goals and objectives in the project approval documents. The Project Manager designates the team leads that are most appropriate for the various teams discussed above. It is anticipated that the team lead is the individual with the correlating experience and responsibility.
- Essentially, each business team member has two “supervisors” – the Project Manager that directs the activities of the project and the employee’s day-to-day activities, and their business owner for policy direction. Team members in a matrix organization require:
 - The experience and confidence to understand the relationship, and work successfully in the matrix.
 - The ability to clearly identify and articulate issues when identified.
 - The ability to expeditiously resolve those issues.
 - The ability to collaboratively work in a cross functional, matrix organization to develop solutions to those issues that are best for California as a whole.
 - Requisite authority/empowerment to make appropriate decisions based on their subject matter expertise, within the confines of the of the overall project decision making processes.
 - The ability to keep abreast of changes within the organization they represent and with the project’s activities and schedule.

Working in a matrix organization adds complexity to the project and a significant communication challenge; however, without it the Project will face resistance from the business owners because they will not feel ownership of the project. It is anticipated that much of the project team will ultimately staff the FI\$Cal Service Center (Center of Excellence) and leave their sponsoring organization. Planning activities³ will need to be identified and scheduled to determine which employees become Service Center Employees and which will return to their respective departments. As we develop the project, the change management and the transformation process requires a matrix organization. There may be cases where an assigned team member may not be suited to the project, or may not be a

³ Creation of a Service Center staffing plan will be scheduled into the project at an appropriate time-frame.

good match for the challenges, speed, and skills of the project. In those cases, the team member shall return to their previous department, and a new team member assigned to the project.

5.4 Project Human Resource Management Plan

Staff resources are documented in a Human Resource Management Plan spreadsheet by the Recruitment and Retention Manager. The spreadsheet includes the Team Category Activity, Department levels, project team roles, classifications, and target hiring date. It is expected that the business experts will be obtained approximately six to twelve months prior to the System Integrator (Contractor) beginning work. The first round of staff acquisition includes team leads and those staff assigned to preparing a team worksite. The next round of staff acquisition involves project hires who will begin preparation of a baseline of the existing environment. Further staff acquisition rounds are aligned with the staff acquisition plan in SPR2.

5.4.1 Project Team Retention

Careful consideration has been given to supporting retention of team members throughout this project. It is recognized that a consistent, stable, and competent project team is essential to the success of the project. A plan for using retention pay differentials has been developed to reduce turnover and increase retention of qualified and skilled staff for the duration of the project. A recruitment and retention differential has been approved by the Department of Personnel Administration for excluded employees. The differential has been implemented by the project administration for excluded project team members. This differential will require negotiation with the bargaining units of represented team members.

Additionally, the project organization has been designed to empower decision-making at the lowest level possible, empowering team members to make decisions and take ownership of their work. Ongoing training opportunities and programs are also provided as part of the overall project retention plan.

5.4.2 Project Succession Planning

Due to the duration and scope of the project, succession planning is critical. In the past, succession planning typically targeted only key leadership positions in projects. In today's organizations, it is important to include key positions in a variety of job categories, as well as leadership positions. In addition, succession planning can help develop a diverse workforce, by enabling decision makers to look at the future make-up of the organization as a whole. This plan focuses in three specific areas: (1) the Partner Leadership (the Director of Finance, the Controller, the Treasurer, and the Director of General Services); (2) the Project Executive; and (3) the project staff.

Project Leadership

Ensuring the continued support of state executives for projects that are long-term in nature and cross over election cycles is a unique challenge. For the FI\$Cal Project, the commitment and involvement of the partners at the highest level is one of the keys to leadership succession planning. The strategy to ensure executive leadership, as well as operational long-term support for the project that will bridge the inevitable changes in government leadership is to establish the requirement for the project partnership to develop

and implement the system in statute. This requirement ensures the continuation of the project over election cycles that will bridge not only the current partners but also Legislative members. In addition, the project incorporates project briefings as part of each election transition at all levels of government to maintain knowledge and awareness of the importance and status of the project.

Project Executive

Leadership succession planning should be implemented with a focus on where the organization is heading in the future. What will the top position look like in the next two, three, and five years? Planning for the competencies of the current position is necessary, but more important and essential is the need to project what competencies the positions will require in two to five years. Instead of automatically replicating and reproducing an existing leader, the strategy is to make a selection based upon the phase of the project and skill sets required to lead the project through specific phase(s).

An important element of the plan is to include an overlap of leaders for development purposes and to ensure continuity of leadership. The overlap will provide sufficient time for the departing leader to brief and mentor the new leader in the project, about the roles and responsibilities of the position as well as what is needed to transition leadership in a meaningful and supportive fashion to ensure success.

Another important element of succession planning for the Project Executive is to charge the Project Steering Committee with participating in the selection of any new Project Executive.

Finally, the project must ensure that the Project Executive has the appropriate training and resources to be successful. To that end, during the transition period between leaders, the newly appointed Project Executive will attend leadership training programs and project management training for Project Executives.

Project Team

As noted in SPR2, the Project Executive is responsible for selecting the Project Director with the concurrence of the Steering Committee. Together, Project Management recruits and develops the project team. Succession planning ensures that there are highly-qualified people in all positions, not just today, but tomorrow, next year, and five years from now. Succession planning establishes a process that recruits employees, develops their skills and abilities, and prepares them for advancement, all while retaining them to ensure a return on the organization's training investment. Succession planning involves:

- Understanding the organization's long-term goals and objectives.
- Identifying the workforce's developmental needs.
- Determining workforce trends and predictions.
- Managing and documenting knowledge transfer and/or deficiencies.

The FI\$Cal Project is committed to the concept of quality succession planning and is undertaking activities that:

- Provide access to leadership training programs for key project leadership positions.
- Develop and implement a rigorous communication strategy.
- Identify expected vacancies in a timely fashion.
- Determine critical positions.

- Identify current and future competencies for positions.
- Develop and implement a rigorous recruitment strategy.
- Create assessment and selection tools.
- Supplement human resource functions to include active recruiting and staffing.
- Identify gaps in current employee and candidate competency levels.
- Develop Individual Development Plans for employees.
- Develop and implement coaching and mentoring programs.
- Assist with leadership transition and development.
- Develop an evaluation plan for succession management.
- Participate in state-level human resource task forces, committees, and activities.
- Develop a mechanism for knowledge/information transfer.

5.4.3 Project Staff Release

Release criteria involves determining how and when to release team members from the project, which when done timely, can reduce project costs. It is anticipated that the project team members will provide trained staff to the control agencies and to the departments as the project is implemented in waves. Also, the workforce transition will be organized such that staff will move into other project areas, such as the Center of Excellence.

The Center of Excellence will help in retaining project knowledge following implementation, and ensuring that there is a well-planned knowledge transfer. Furthermore, the Maintenance and Operations component of the new system will be part of the Center of Excellence, and will be a transition role for state staff on this project. Using a release strategy that moves experts back into their departments to support their functional areas will provide further support and expertise to the project goals.

6. Training Requirements

The project has prepared draft training outlines for budgeting purposes, in which there are defined sets of training courses to be provided to project team members, depending on their roles and responsibilities. The majority of the training outlines are contingent on completing the procurement and are placeholders for project budgeting purposes. At the appropriate phase of the project, more detailed training plans will be prepared. Recommended training courses have been outlined for the Statewide Business Team, FI\$Cal Project Management Office, Information Technology, Information Technology Managers, Information Technology Security, and Database Administrators. Additionally, project management training topics are delivered as each of the project management plans are implemented. Project training will also support employees' Individual Development Plans.

There is an assumption that not all project team members will require all of the proposed training modules. An assessment of each team member's skills and abilities at the time they are hired will assist in determining each individual's training plan. Moreover, in future planning, specific efforts will focus on ensuring that there is a transfer of knowledge from project vendors to project staff.

It is envisioned that the training plans will be specific to the project role. For example, a member of the PMO would receive project management training. A member of the business team would receive Essential Business Process Modeling. A team member working in recruitment would receive training in recruitment and hiring strategies.

Likewise, new staff are provided an orientation that includes such topics as project orientation, matrix project organization, and project management plans. This is an effort to educate new staff to a project environment and the expectations of Project management.

7. Communication

The project communication structure provides many opportunities to communicate about project staffing and human resources. Staffing information is communicated at Project Status meetings, HR Workgroup Meetings, Risk Management Team meetings, and Steering Committee meetings.

7.1 Publishing

The Human Resource Management Plan is published quarterly if changes are made. Additional publication may occur, as driven by significant staffing changes that occur throughout the life of the project. Either may result in updates being made to the Human Resource Management Plan, at which point the plan will be stored in the FI\$Cal Project Library as an updated version.

Note that general project communication is also available through a newsletter published on the Project Website and e-mailed to subscribers.

7.2 Distribution

The distribution method for updated versions of the plan is to store them in the project library and notify project staff of updates via email.

In addition, relevant approved project documents, such as job announcements, are available on the FI\$Cal website.

7.3 Reporting

The reporting method is driven by the quarterly review cycle. Human Resource and staffing reviews will result in analysis and feedback. These reports will follow the quarterly reviews and will be stored in the project library.

7.4 Meeting Establishment

Human resource management topics are discussed generally at the Weekly Status Meetings. Additionally, specific Human Resource Workgroup Meetings have been established and are held on a biweekly basis.

8. Human Resource Management Plan Change Procedures

The FI\$Cal Human Resource Management Plan is a “living document” maintained by the FI\$Cal PMO. As the FI\$Cal Project progresses and process improvements are identified, the plan is updated. The entire plan is reviewed for consistency. The FI\$Cal PMO reviews the plan quarterly to verify the relevance of the process and procedures to FI\$Cal Project business needs. For further details on the quarterly update process or schedule, refer to the Project Management Plan Quarterly Update Process document.

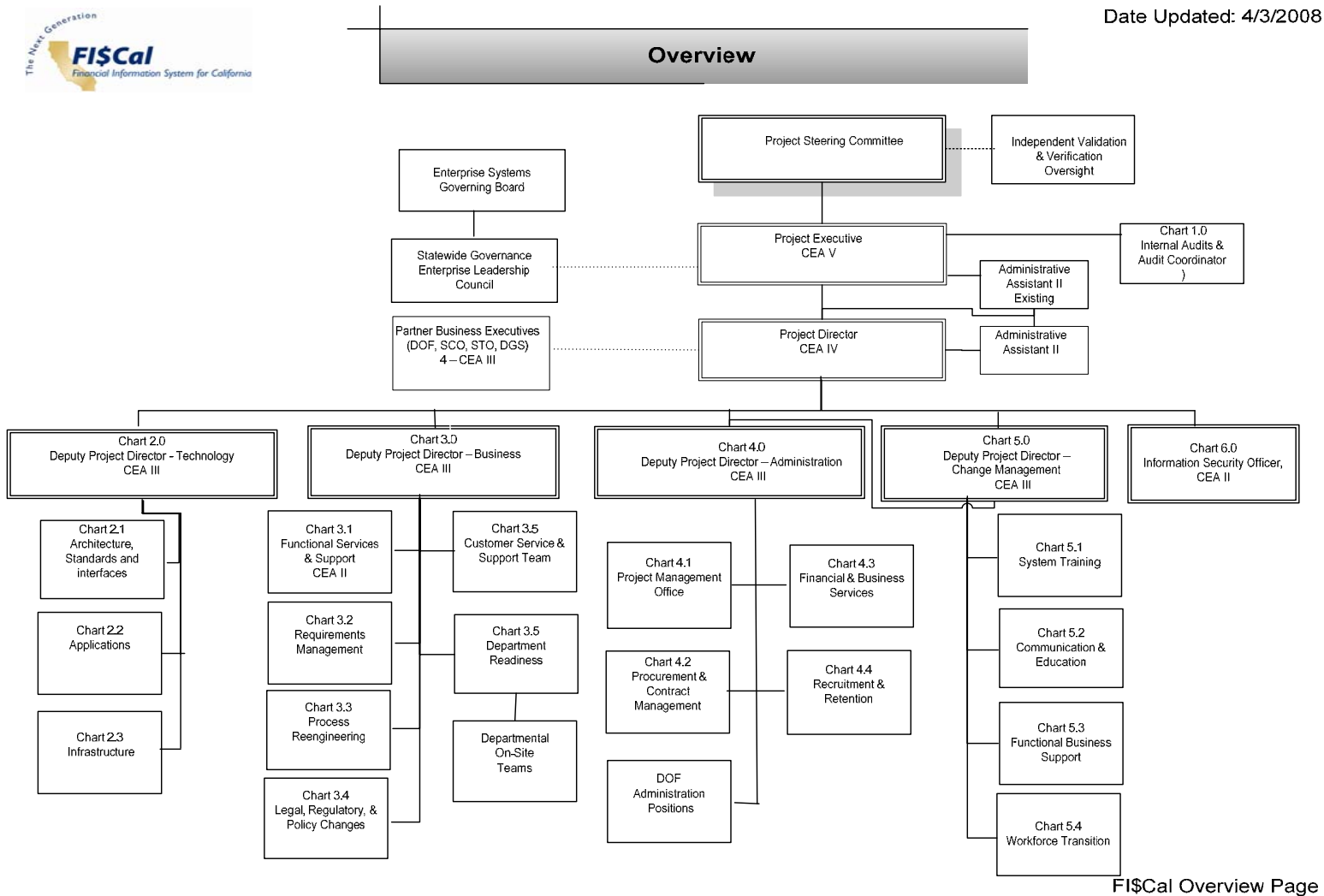
FI\$Cal documentation standards and version control procedures are adhered to during the update process and the plan is under version control at all times. Updated versions of the plan are submitted to the FI\$Cal Project Library and distributed via e-mail to all project staff.

8.1 Human Resource Management Plan Team Members

The Human Resource Management Team actively manages human resources following the processes defined in this plan. The Human Resource Management Team functions to determine the appropriate allocation and management of human resources in order to effectively support the project. The Human Resource Management Team consists of:

- Project Director/Manager
- Human Resource Manager
- Project Deputy Directors – All Teams
- Recruitment and Retention Manager

9. Appendix A FI\$Cal Project Overview Organizational Chart



FI\$Cal Overview Page

10. Appendix B Service Center Staffing Plan

In the future, a Staffing Plan for the Service Center will be prepared. This plan will address which employees become Service Center employees vs. which will return to their home departments.

Appendix H: Succession Planning

Due to the duration and scope of the FISCAL Project, succession planning is critical. In the past, succession planning typically targeted only key leadership positions in projects. In today's organizations, in addition to leadership positions it is important to include key positions in a variety of job categories. In addition, succession planning can help develop a diverse workforce, by enabling decision makers to look at the future make-up of the organization as a whole. This plan focuses on three specific areas: (1) the Partner Leadership (the Director of Finance, the Controller, the Treasurer, and the Director of General Services) including the state executive leadership levels; (2) the Project Executive and Director; and (3) the Project Staff.

To be successful, succession planning should encompass the following criteria:¹

- Involvement of top management, employees, and other stakeholders.
- Identification of the critical skills and competencies required.
- Develop strategies to address gaps and conditions that need attention.
- Build the capability needed to address administrative, educational, and other requirements.
- Monitor and evaluate the progress toward goals and objectives.

H.1 Project Leadership at the State Executive Level

The long-term success of organizations requires continuity in top management. The commitment and involvement of the Partner Agencies at the highest level is the key to leadership succession planning for the Project. The strategy to ensure organizational leadership and support that will bridge the inevitable changes in government leadership is:

- Utilizing a Memorandum of Understanding between the Partner Agencies to memorialize the vision, the governance and the structure of the Project; and
- Establishing in statute the requirement for the Project partnership to develop and implement the Project.

As part of the budget process, the FISCAL Project will introduce proposed legislation.

It must also be recognized that the Project leadership at the state executive level must not only support the Project and its vision, but also support the project management to ensure successful recruitment and transition over time.

¹ GAO-04-39, Human Capital: Key Principles for Effective Strategic Workforce Planning

H.2 Project Executive and Director

Leadership succession planning should be implemented with a focus on where the organization is heading in the future. What will the top positions look like in the next two, three, and five years? Planning for the competencies of the current positions is necessary, but more important and essential is the need to project what competencies the positions will require in two to five years. Instead of automatically replicating and reproducing an existing leader, the strategy is to make a selection based upon the phase of the Project and skill sets required to lead the Project through specific phase(s). The plan includes ensuring an overlap of leaders for development purposes and to ensure continuity of leadership. It is also important that the Steering Committee participate in the determination of the Project Executive hiring.

Strategies for replacement of the Project Executive include:

- Determine the competencies needed to lead the FI\$Cal implementation the next two to five years.
 - The Project Steering Committee will participate in selecting the new Project Executive.
 - Provide at least a three month overlap when a new Project Executive is brought to the team to ensure a successful transition of leadership between the outgoing and incoming Project Executive.

The Project Director is selected by the Project Executive with the consensus of the Steering Committee. The Project Director is the state's Project Manager. It is critical for the Project Manager of an ERP project to have both a strong understanding of the state's business environment, familiarity with ERP products and structure, the principles and practices of project management, as well as a fundamental understanding of information technology principles. The Project Director is anticipated to be selected from within the state ranks to ensure a strong understanding of the state's business environment and a vision of the future. The succession plan includes the development of critical skills and competencies within the project team required for this and other leadership roles to ensure a strong pool of candidates for the continued health of the project leadership.

H.3 Project Team

Successful leadership requires a competent project team structure and staff. Succession planning ensures that there are highly-qualified people in all positions, not just today, but tomorrow, next year, and five years from now. Succession planning establishes a process that recruits employees, develops their skills and abilities, and prepares them for advancement, all while retaining them to ensure a return on the organization's training investment. Succession planning involves:

- Understanding the organization's long-term goals and objectives
- Identifying the workforce's developmental needs
- Determining workforce trends and predictions

A successful project requires the human infrastructure to continue to support the anticipated transition of individuals at all levels throughout the project lifecycle and continued into the operations and maintenance of the system in the future. The FI\$Cal Project is committed to the concept of quality succession planning and will undertake, at a minimum, the following activities to support quality succession planning throughout the Project:

- Develop and implement a rigorous communication strategy
- Identify expected vacancies in a timely fashion
- Determine critical positions
- Identify current and future competencies for positions
- Develop and implement a rigorous recruitment strategy
- Create assessment and selection tools
- Supplement human resource functions to include active recruiting and staffing
- Identify gaps in current employee and candidate competency levels
- Develop Individual Development Plans for employees
- Align training plans to support the Development Plans
- Develop and implement coaching and mentoring programs
- Assist with leadership transition and development
- Develop an evaluation plan for succession management
- Participate in state level human resource task forces, committees, and activities